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03-15-01

**BICKEL & BREWER**  
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Sector #  
#3

885 THIRD AVENUE  
SUITE 3040  
NEW YORK, NEW YORK 10022  
(212) 489-1400

March 14, 2001

**VIA EXPRESS MAIL ET100952724US**

**BOX MISSING PARTS**  
Assistant Commissioner for Patents  
Washington, DC 20231

RE: U.S. Patent Application 09/752,070 for "METHOD AND SYSTEM FOR INTERACTIVELY ENABLING INVESTMENT OPPORTUNITIES FOR INVESTORS" Filed 12/29/00.  
Our File No.: 1874-04

Dear Sir::

Enclosed for filing in connection with the above-referenced patent application please find:

1. Response to Notice to File Missing Parts;
2. Notice to File Missing Parts of Application;
3. Declaration and Power of Attorney;
4. Check in the amount of \$1074.00 for response to missing parts;
5. Letter to Draftsman;
6. Formal Drawings (17 pages); and
7. Post Card Receipt.

If you have any questions or comments regarding any of the enclosed, please do not hesitate to contact the undersigned.

Sincerely,



Daniel F. Perez

Registration No.: 33,755

DFP/dgf  
Enclosures  
cc: Peter Muñiz



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/752,070	12/29/2000	Sada L. Reddy	1874-04

CONFIRMATION NO. 7727

## FORMALITIES LETTER



\*OC000000005769129\*

Daniel F. Perez  
Bickel & Brewer  
4800 Bank One Center  
1717 Main Street  
Dallas, TX 75201

Date Mailed: 02/15/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 710 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).*
  - Total additional claim fee(s) for this application is \$234.
    - \$234 for 13 total claims over 20.
  - The oath or declaration is missing.
  - To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- 03/16/2001 SDENBOB1 00000030 09752070
- |           |           |
|-----------|-----------|
| 01 FC:101 | 710.00 OP |
| 02 FC:103 | 234.00 OP |
| 03 FC:105 | 130.00 OP |
- The balance due by applicant is \$ 1074.

The application is informal since it does not comply with the regulations for the reason(s) indicated below. Applicant is given TWO MONTHS from the date of this Notice within which to correct the informalities indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:
  - drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. (5/8 inch), and a

FEB 19 2001

bottom margin of at least 1.0 cm. (3/8 inch);

- drawings submitted to the Office are not electronically reproducible. Drawing sheets must be submitted on paper which is flexible, strong, white, smooth, non-shiny, and durable (see 37 CFR 1.84(e));

The following item(s) appear to have been **omitted** from the application:

- Figure(s) **19,20** described in the specification.

I. Should applicant contend that the above-noted omitted item(s) was in fact deposited in the Patent and Trademark Office (PTO) with the nonprovisional application papers, a copy of this Notice and a petition (and \$130.00 petition fee (37 CFR 1.17(i))) with evidence of such deposit **must** be filed within **TWO MONTHS** of the date of this Notice. The petition fee will be refunded if it is determined that the item(s) was received by the PTO.


II. Should applicant desire to supply the omitted item(s) and accept the date that such omitted item(s) was filed in the PTO as the filing date of the above-identified application, a copy of this Notice, the omitted item(s) (with a supplemental oath or declaration in compliance with 37 CFR 1.63 and 1.64 referring to such items), and a petition under 37 CFR 1.182 (with the \$130.00 petition fee (37 CFR 1.17(h)) requesting the later filing date **must** be filed within **TWO MONTHS** of the date of this Notice.

III. The failure to file a petition (and petition fee) under the above options (I) or (II) within **TWO MONTHS** of the date of this Notice (37 CFR 1.181(f)) will be treated as a constructive acceptance by the applicant of the application as deposited in the PTO. **THIS TWO MONTH PERIOD IS NOT EXTENDABLE UNDER 37 CFR 1.136(a) or (b).** In the absence of a timely filed petition in reply to this Notice, the application will maintain a filing date as of the date of deposit of the application papers in the PTO, and original application papers (*i.e.*, the original disclosure of the invention) will include only those application papers present in the PTO on the date of deposit.

In the event that applicant elects not to take action pursuant to options (I) or (II) above (thereby constructively electing option (III)), amendment of the specification to renumber the pages consecutively and cancel incomplete sentences caused by any omitted page(s), and/or amendment of the specification to cancel all references to any omitted drawing(s), relabel the drawing figures to be numbered consecutively (if necessary), and correct the references in the specification to the drawing figures to correspond with any relabelled drawing figures, is required. Any drawing changes should be accompanied by a copy of the drawing figures showing the proposed changes in red ink. Such amendment and/or correction to the drawing figures, if necessary, should be by way of preliminary amendment submitted prior to the first Office action to avoid delays in the prosecution of the application.

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*A copy of this notice **MUST** be returned with the reply.*



Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

**FEB 19 2001**



Attorney No. 1874-04

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re Application:

Serial No. Sada Reddy  
09/752,070  
Filed: 12/29/2000

"EXPRESS MAIL" mailing label number ET100952724US, Date of Deposit: March 14, 2001. I certify that the above correspondence is being deposited with the United States Postal Service "Express Mail" Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231.

Donna Frazier

For: METHOD AND SYSTEM FOR INTERACTIVELY ENABLING INVESTMENT  
OPPORTUNITIES FOR INVESTORS

BOX MISSING PARTS  
Assistant Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

RESPONSE TO  
NOTICE TO FILE MISSING PARTS OF APPLICATION

In response to the Notice to File Missing Parts of Application mailed February 15, 2001, a copy of which is returned herewith, Applicant respectfully submits this response.

**Declaration and Power of Attorney**

As required by the Notice of Missing Parts of Application, Applicant hereby encloses an executed Declaration and Power of Attorney.

**Required Fees**

Submitted herewith is a check for \$1074.00 to cover the basic filing fee, additional claim fee, and the surcharge set forth in 37 C.F.R. 1.16(e). Applicant, therefore, respectfully submits that no additional fees are due in excess of the enclosed check.

**Conclusion**

Applicant respectfully submits that all required parts for the application have now been filed and that no additional fees are required.

Respectfully submitted,

BICKEL & BREWER

  
\_\_\_\_\_  
Daniel F. Perez

Registration No. 33,755

ATTORNEY FOR APPLICANT

Dated: March 14, 2001

4800 Bank One Center  
1717 Main Street  
(214) 653-4996 - Telephone  
(214) 653-1014 - Facsimile

112178.1



Attorney Docket No.: 1874-04

PATENT

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In Re the Application of: Sada Reddy

Serial No.: 09/752,070

Filed: December 29, 2000

Art Unit: 2163

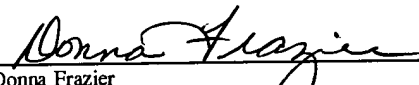
For: METHOD AND SYSTEM FOR INTERACTIVELY ENABLING  
INVESTMENT OPPORTUNITIES FOR INVESTORS

Assistant Commissioner for Patents  
Washington, D.C. 20231

Attn: Official Draftsperson

Dear Sir:

EXPRESS MAIL" mailing label number ET100952724US  
Date of Deposit: March 14, 2001. I certify that the accompanying  
Application is being deposited with the United States Postal Service  
"Express Mail Post Office to Addressee" service under 37 CFR 1.10  
on the date indicated above and is addressed to Box New  
Application; Assistant Commissioner for Patents, Washington, DC  
20231.

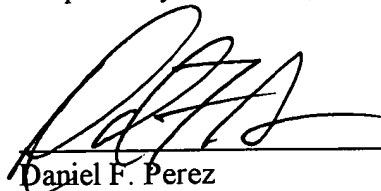
  
Donna Frazier

**LETTER TO OFFICIAL DRAFTSPERSON**

Transmitted herewith is seventeen (17) sheets of formal drawings to be substituted for the  
informal drawings initially filed in the above-identified application for patent.

Respectfully submitted,

Date: March 14, 2001



Daniel F. Perez  
Reg. No. 33,755

BICKEL & BREWER  
4800 Bank One Center  
1717 Main St.  
Dallas, TX 75201  
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ATTORNEY FOR APPLICANT

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